

Att  
In l

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## Paniccia

Examiner: Valencia, Daniel E.

Art Unit: 2874

For: METHOD AND APPARATUS FOR  
INTEGRATING AN OPTICAL  
TRANSMIT MODULE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

\_\_\_\_\_ 37 C.F.R. §1.97(b).

XX 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

XX A statement pursuant to 37 C.F.R. §1.97(e) or

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

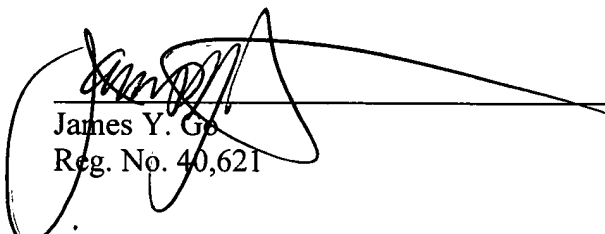
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 11-19-03

  
James Y. Go  
Reg. No. 40,621

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(206) 292-8600


CERTIFICATE OF MAILING:

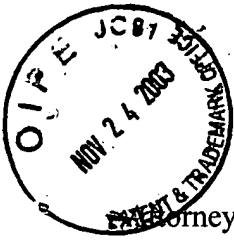
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on November 19, 2003

(Date of Deposit)

Luci M. Arevalo

(Typed or printed name of person mailing correspondence)

  
(Signature of person mailing correspondence)



Attorney's Docket No. 42P13867

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of: )  
 )  
Paniccia ) Examiner: Valencia, Daniel E.  
 )  
Application No. 10/084,776 ) Art Unit: 2874  
 )  
Filed: February 25, 2002 )  
 )  
For: METHOD AND APPARATUS FOR )  
INTEGRATING AN OPTICAL )  
TRANSMIT MODULE )  
\_\_\_\_\_ )

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT UNDER 37 C.F.R. §1.97(e)

Sir:

I hereby certify (as indicated by an "X" to the left of the appropriate paragraph):

X That each item of information contained in the accompanying  
Information Disclosure Statement was first cited in any communication  
from a foreign patent office in a counterpart foreign application not more  
than three months prior to the filing of the Information Disclosure  
Statement.

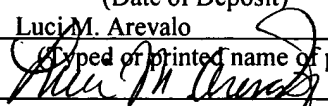
CERTIFICATE OF MAILING:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first  
class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box  
1450, Alexandria, VA 22313-1450  
on November 19, 2003.

(Date of Deposit)

Luci M. Arevalo

(Typed or printed name of person mailing correspondence)

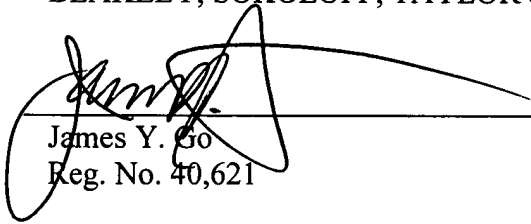
  
(Signature of person mailing correspondence)

— That no item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing the Information Disclosure Statement.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 11-19-03

  
James Y. Go  
Reg. No. 40,621

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(206) 292-8600

Substitute for Form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/084,776
Filing Date	February 25, 2002
First Named Inventor:	Paniccia
Art Unit	2874
Examiner Name	Valencia, Daniel E.
Attorney Docket Number	42P13867

Sheet 1 of 2

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
	1.	US-	5,908,305	06/01/1999	Crampton et al.	
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	2.	WO	00/67407	11/09/2000	TELEFONAKTIEBOLAGET LM ERICSSON		
	3.	JP	11211924	06/08/1999	NIPPON TELEGR & TELEPH CORP		
	4.	JP	2000124543	04/28/2000	NIPPON TELEGR & TELEPH CORP		
	5.	PCT/US03/04638		09/04/2003	International Search Report		

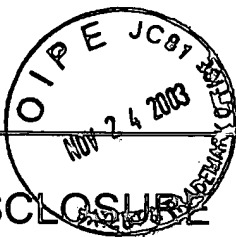
 Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute Form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

**Complete if Known**

Application Number	10/084,776
Filing Date	February 25, 2002
First Named Inventor:	Paniccia
Art Unit	2874
Examiner Name	Valencia, Daniel E.
Attorney Docket Number	43P13867

**Sheet**

2

**of**

2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	6.	FISCHER, U., et al., "Singlemode Optical Switches Based On SOI Waveguides With Large Cross-Section," Electronics Letters, Vol. 30, No. 5, (March 3, 1994), pp. 406-408	
	7.	FISCHER, U., et al., "Integrated Optical Waveguide Switches in SOI," Proceedings 1995 IEEE International SOI Conference, (October 1995), pp. 141-142	
	8.	CUTOLO, A., "An Electrically Controlled Bragg Reflector Integrated in a Rib Silicon On Insulator Waveguide," Appl. Phys. Lett. 71 (2), (July 14, 1997), pp. 199-201	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.